



JC03, Rec'd PCT/PTO

RECEIVED

21 MAR 2001
MAY 23 2001

5000

1651

TECH CENTER 1600/2900
PATENT
#6
7-3-01
P.2.**IN THE UNITED STATES PATENT
AND TRADEMARK OFFICE**

Applicant(s):

Frey et al.

Serial No.: 09/762,871 filed February
14, 2001, U.S. National Phase
Application Based on PCT/CH99/00384
filed August 19, 1999 Based on
PCT/IB98/01306 filed August 21, 1998For: Conjugates of DNA Interacting
Groups With Steroid Hormones for Use
as Nucleic Acid Transfection Agents

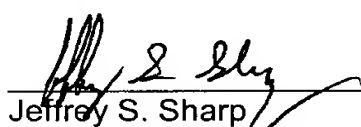
Attorney Docket No.: 27656/37082

Group Art Unit: Not Assigned

Examiner: Not Assigned

I hereby certify that this paper is
being deposited with the United
States Postal Service with
sufficient postage as first class
mail in an envelope addressed
to: Commissioner for Patents,
Washington, D.C. 20231 on this
date:

March 19, 2001


Jeffrey S. Sharp
Registration No. 31,879
Attorney for Applicant(s)

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Box PCT
Washington, D.C. 20231

Sir:

The patents and/or publications listed on the enclosed PTO Form-1449 are submitted pursuant to 37 CFR §§ 1.56, 1.97, and 1.98. Copies of the patents or publications are enclosed as necessary.

Reference WO 94/23751 (B1) is not in the English language. It relates to a nucleic acid transfer peptide containing: (a) a first ligand selected in the group of peptides, steroids, carbohydrates, lipids or vitamins which binds to a binding partner at the surface of eucaryotic cells, triggering an endocytosis of the complex composed of said nucleic acid transfer peptide and a nucleic acid; (b) a second ligand selected in the group of peptides, steroids, carbohydrates, lipids

or vitamins which binds to a binding partner on the outer membrane of the nucleus of eucaryotic cells; (c) a third ligand which is a basic peptide and binds to nucleic acids by ion exchange. These peptides are useful for injecting nucleic acids into eucaryotic cells.

TIME OF FILING

This information disclosure statement is being filed:

- ☒ 1. with the application or within three months of the filing date of the application or date of entry into the national stage of an international application or, to the best of the undersigned's knowledge, before the mailing date of a first Office Action on the merits, whichever event occurs last. In accordance with 37 CFR §1.97(b), no certification or fee is required.
- ☐ 2. after the time period specified in paragraph 1 above, but, to the best of the undersigned's knowledge, before the mailing date of a final action under 37 CFR §1.113 or notice of allowance under 37 CFR §1.311. Therefore, in accordance with 37 CFR §1.97(c), submitted herewith is:
 - (check either A or B below)**
 - A. ☐ a certification as specified in 37 CFR §1.97(e).
 - B. ☐ the fee set forth in 37 CFR §1.17(p) for submission of an information disclosure statement under 37 CFR §1.97(c).
- ☐ 3. after the mailing date of either a final action under 37 CFR §1.113 or a notice of allowance under 37 CFR §1.311, whichever occurs first, but before payment of the issue fee. Therefore, Applicant submits herewith:
 - A. a certification as specified in 37 CFR §1.97(e);
 - B. the petition fee set forth in 37 CFR §1.17(i); and
 - C. the accompanying petition under 37 CFR §1.97(d).

CERTIFICATION

(only used if No. 2 or No. 3 above is checked)

The person(s) signing below certify

(check appropriate paragraph)

- ☐ that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 CFR §1.97(e)(1).

OR

- ☐ that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement. 37 CFR §1.97(e)(2).

PETITION

(only used if No. 3 above is checked)

- ☐ Applicant(s) hereby petition(s) pursuant to 37 C.F.R. § 1.97(d) that this Information Disclosure Statement, Form PTO-1449, and document(s) identified therein be considered.

METHOD OF PAYMENT

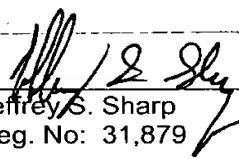
- ☒ No fee is required.
- ☐ Attached is a check in the amount of \$_____.

The Commissioner is authorized to charge any fee deficiency required by this paper, or credit any overpayment, to Deposit Account No. 13-2855. A copy of this paper is enclosed.

Respectfully submitted,

MARSHALL, O'TOOLE, GERSTEIN,
MURRAY & BORUN
6300 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606-6402
(312) 474-6300

By: _____


Jeffrey S. Sharp
Reg. No: 31,879

March 19, 2001